

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number	10079022
	Filing Date	2002-02-20
	First Named Inventor	CHARNLEY
	Art Unit	3694
	Examiner Name	RIOUX, James A.
	Attorney Docket Number	W12P632US1

U.S.PATENTS						<input type="button" value="Remove"/>
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
M	1	5109475		1992-04-28	Kosaka et al.	
	2	5761442		1998-06-02	Barr et al.	
	3	5774881		1998-06-30	Friend et al.	
	4	5784696		1998-07-21	Melnikoff	
	5	5806049		1998-09-08	Petruzzi	
	6	5884287		1999-03-16	Edesess	
	7	5987433		1999-11-16	Crapo	
✓	8	6003018		1999-12-14	Michaud et al.	

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Not for submission under 37 CFR 1.99)		Application Number		10079022	
		Filing Date		2002-02-20	
		First Named Inventor		CHARNLEY	
		Art Unit		3694	
		Examiner Name		RIOUX, James A.	
		Attorney Docket Number		W12P632US1	

mc	9	6018722		2000-01-25	Ray et al.	
	10	6021397		2000-02-01	Jones et al.	
	11	6078904		2000-06-20	Rebane	
↓	12	6125355		2000-09-26	Bekaert et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

#### U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button.

#### FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

#### NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.					T <sup>5</sup>
--------------------	---------	---	--	--	--	--	----------------

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	10079022
	Filing Date	2002-02-20
	First Named Inventor	CHARNLEY
	Art Unit	3694
	Examiner Name	RIOUX, James A.
	Attorney Docket Number	W12P632US1

<i>me</i>	1	MARKOWITZ, Harry, "Portfolio Selection", The Journal of Finance, Vol. VII, No. 1, pp 77-91, March 1952	<input type="checkbox"/>
<i>me</i>	2	SHARPE, William F., "Capital Asset Prices: A Theory of Market Equilibrium Under Conditions of Risk", The Journal of Finance, Vol. XIX, No. 3, pp 425-442, September 1964	<input type="checkbox"/>
<i>me</i>	3	CARHART, Mark M., "On Persistence in Mutual Fund Performance", The Journal of Finance, Vol. 52, No. 1, pp 57-82, March 1997	<input type="checkbox"/>
<i>me</i>	4	COCHRANE, John H., "New facts in finance", Economic Perspectives, Federal Reserve Bank of Chicago, pp 36-58	<input type="checkbox"/>
<i>me</i>	5	DOWNES, John and GOODMAN, Jordan Elliot, "Dictionary of Finance and Investment Terms", Barron's Educational Series, Inc., 1985	<input type="checkbox"/>
<i>me</i>	6	COHEN, Jerome B., ZINBARG, Edward D., and ZEIKEL, Arthur, "Investment Analysis and Portfolio Management", 4th Ed, Richard D. Irwin, Inc., Homewood, IL, 1982	<input type="checkbox"/>
<i>me</i>	7	ALEXANDER, Gordon J. and SHARPE, William F., "Fundamentals of Investments", Prentice Hall, Inc., Englewood Cliffs, NJ 1989	<input type="checkbox"/>
<i>me</i>	8	HAGSTROM JR., Robert G., "The Warren Buffett Way - Investment Strategies of the World's Greatest Investor", John Wiley & Sons, Inc., 1995	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

#### EXAMINER SIGNATURE

Examiner Signature	<i>Marsden</i>	Date Considered	11-20-07
--------------------	----------------	-----------------	----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.